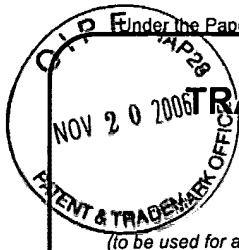


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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

13

Application Number

10/616,703

Filing Date

July 9, 2003

First Named Inventor

Jonathan Oliver

Art Unit

2141

Examiner Name

Rupal Dharia

Attorney Docket Number

PA3626US

## ENCLOSURES (Check all that apply)



Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/  
Incomplete ApplicationReply to Missing Parts  
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a  
Provisional Application

Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) \_\_\_\_\_

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After Allowance Communication to TC

Appeal Communication to Board  
of Appeals and InterferencesAppeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify  
below):

- 1) Confirmation Postcard;
- 2) Duplicate of IDS;
- 3) PTO-SB-08 (x2)
- 4) 17 nonpatent references

Remarks

Total page number does not include postcard or nonpatent references

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Carr &amp; Ferrell LLP

Signature

*Tam Thanh Pham*

Printed name

Tam Thanh Pham

Date

November 15, 2006

Reg. No.

50,565

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IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Jonathan Oliver et al.  
APPLICATION NO.: 10/616,703  
FILED: July 9, 2003  
TITLE: Message Classification Using Allowed Items  
EXAMINER: Rupal Dharia  
GROUP ART UNIT: 2141  
ATTY.DKT.NO.: PA3626US

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
Under 37 C.F.R. §§ 1.56, and 1.97-1.98

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98 of the Rules of Practice in Patent Cases, enclosed herewith is form PTO-SB-08 listing several references, copies of the non patent references are enclosed. The Examiner is requested to make these references of official record in the application. The references cited may be material to examination of the application and are submitted in compliance with Applicant's duty of disclosure as defined by 37 C.F.R. § 1.56.

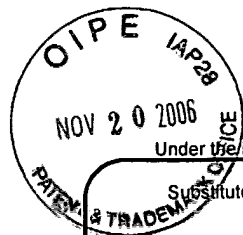
No representation is made or intended as to the completeness of this list, nor is the inclusion of any reference on this list an admission that it is prior art or pertinent to this application.

Applicant believes no fee is due with this submission. If a fee is due, however, the Commissioner is hereby authorized to charge any necessary fee to Account Number 06-0600. A copy of this statement is submitted in duplicate for this purpose.

Respectfully submitted,  
Jonathan Oliver et al.

Dated: November 15, 2006

By: *Tam Thanh Pham*  
Tam Thanh Pham, Reg. No. 50,565  
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Complete if Known**

Application Number	10/616,703
Filing Date	July 9, 2003
First Named Inventor	Jonathan Oliver
Art Unit	2141
Examiner Name	Rupal Dharia
Attorney Docket Number	PA3626US

Sheet 1 of 4

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 6,112,227	08-29-2000	Heiner	
		US- 6,199,102	03-06-2001	Cobb	
		US- 6,421,709	07-16-2002	McCormick et al.	
		US- 6,453,327	09-17-2002	Nielsen	
		US- 6,546,416	04-08-2003	Kirsch	
		US- 6,650,890	11-18-2003	Irlam et al.	
		US- 6,654,787	11-25-2003	Aronson et al.	
		US- 6,732,149	05-04-2004	Kephart	
		US- 6,941,348	09-06-2005	Petry et al.	
		US- 2002/0162025	10-31-2002	Sutton et al.	
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		US- 2003/0105827	06-05-2003	Tan et al.	
		US- 2003/0229672	12-11-2003	Kohn	
		US- 2003/0233418	12-18-2003	Goldman	
		US- 2004/0003283	01-01-2004	Goodman et al.	
		US- 2004/0024639	02-05-2004	Goldman	
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		US- 2006/0036693 A1	02-16-2006	Hulten et al.	
		US- 2004/0117451 A1	06-17-2004	Chung	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
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Sheet 2

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Application Number	10/616,703
Filing Date	July 9, 2003
First Named Inventor	Jonathan Oliver
Art Unit	2141
Examiner Name	Rupal Dharia
Attorney Docket Number	PA3626US

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		Number-Kind Code <sup>2</sup> (if known)			
		US- 6,829,635 B1	12-07-2004	Townshend	
		US- 6,728,378 B2	04-27-2004	Garib	
		US- 2003/0046421 A1	03-06-2003	Horvitz et al.	
		US- 6,772,196 B1	08-03-2004	Kirsch et al.	
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		US- 2005/0125667	06-09-2005	Sullivan et al.	
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		US- 7,076,241	07-11-2006	Zondervan	
		US-			
		US-			
		US-			
		US-			

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Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

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First Named Inventor	Jonathan Oliver
Art Unit	2141
Examiner Name	Rupal Dharia
Attorney Docket Number	PA3626US

Sheet 3

of

4

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		DWORK, Cynthia, et al. "Pricing via Processing or Combating Junk Mail," CRYPTO '92, Springer-Verlag LNCS 740, pp. 139-147, 1992.	
		VON AHN, Luis, et al., "Telling Humans and Computers Apart (Automatically) or How Lazy Cryptographers do AI," Communications to the ACM, February 2004.	
		SKOLL, David F., "How to Make Sure a Human is Sending You Mail," Google Groups Thread (Nov. 17, 1996).	
		BYRNE, Julian, "My Spamblock," Google Groups Thread (Jan. 19, 1997).	
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		"Majordomo FAQ," October 20, 2001.	
		LANGBERG, Mike, "Spam Foe Needs Filter of Himself," (Email Thread Dated April 5, 2003).	
		MCCULLAGH, Declan, "In-Boxes that Fight Back," News.com, May 19, 2003.	
		WEINSTEIN, Laura, "Spam Wars," Communications of the ACM, August 2003, pp. 136, Vol 46, No. 8	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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		Application Number	10/616,703
		Filing Date	July 9, 2003
		First Named Inventor	Jonathan Oliver
		Art Unit	2141
		Examiner Name	Rupal Dharia
Sheet 4	of 4	Attorney Docket Number	PA3626US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		JUNG, J., SIT, E., "An Empirical Study of Spam Traffic and the Use of DNS Black Lists," IMC'04, October 25-27, 2004, pp. 370-375, ACM, Taormina, Sicily, Italy.	
		GOMES, L.H., CAZITA, C., ALMEIDA, J.M., ALMEIDA, V., & MEIRA, W., "Characterizing a Spam Traffic," IMC'04, October 25-27, 2004, pp. 356-369, ACM, Taormina, Sicily, Italy.	
		GABRILOVICH, E. & GONTMAKHER, A., "The Homograph Attack," <a href="http://www.cs.technion.ac.il/~gabr/papers/homograph_full.pdf">http://www.cs.technion.ac.il/~gabr/papers/homograph_full.pdf</a> , last accessed Nov. 10, 2006.	
		CRANOR, L.F. & LAMACCHIA, B.A., "Spam!" Communications of the ACM, August 1998, pp. 74-83, Vol. 41, No. 8	
		BALVANZ, J., PAULSEN, D., & STRUSS, J., "Spam Software Evaluation, Training, and Support: Fighting Back to Reclaim the Email Inbox," SIGUCCS'04, October 10-13, 2004, pp. 385-387, ACM, Baltimore, Maryland, USA.	
		"Digital Signature," <a href="http://www.cnet.com/Resources/Info/Glossary/Terms/digitalsignature.html">http://www.cnet.com/Resources/Info/Glossary/Terms/digitalsignature.html</a> last accessed Nov. 15, 2006	
		"Hash Function," <a href="http://en.wikipedia.org/wiki/Hash_value">http://en.wikipedia.org/wiki/Hash_value</a> , last accessed Nov. 15, 2006	

Examiner Signature		Date Considered	
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